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Date: November 29, 2000

Signed: 

Peter K. Trzyna (Reg. No. 32,681)

PATENT

Paper No.

File: Newmrkt-P1-98

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE Technology Center 2100

Inventor : Anthony F. Herbst and Wayne F. Perg  
Serial No. : 09/197,908  
Filed : November 23, 1998  
For : DIGITAL COMPUTER SYSTEM AND METHODS  
FOR MANAGING AN AUCTION MARKET FOR  
PREFERRED-RETURN SECURITIES  
Group Art Unit : 2761  
Examiner : Retta Yehdega

Honorable Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

**TRANSMITTAL LETTER**

S I R :

Please enter the following enclosed documents in the above-identified patent application.

1. Response; and
2. Financial Instruments Disclosure: FASB's Statement 107 Is Amended by Statement 119;
3. Financial Accounting Standards Board: Fair Value Last Updated: October 24, 2000;
4. U.S. Patent and Trademark Office Patent Full Text and Image Database Search Results for "Financial Instrument"; and
5. Securities and Exchange Commission: 17 CFR Parts 210, 228, 229, 239, 240, and 249.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No.


PETER K. TRZYNA  
P.O. Box 7131  
Chicago, IL 60680-7131

(312) 240-0824



50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,

  
Peter K. Trzyna  
(Reg. No. 32,601)

Date: November 29, 2000

P.O. Box 7131  
Chicago, IL 60680-7131

(312) 240-0824

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